Patient Characteristics Survey (PCS) Manual

2023

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What is the Patient Characteristics Survey (PCS)?

The Patient Characteristics Survey (PCS) is the largest source of mental health consumer data in the State of New York. In it, OMH gathers data on all clients served in mental health programs during a one-week period. This year, the survey week is **October 23rd through October 29th**. All facilities in New York that receive OMH funding or have OMH licensed programs and provide direct services to clients are required to participate in the PCS.

Each client who receives a service will need to be reported in **each** program that serves them. Over 200,000 individuals are served during the survey week.

Why do we need PCS?

The data that OMH collects is used for a variety of purposes such as deciding how funding is spent, creating new programs, and supporting existing ones. The Office of Mental Health uses the data to apply for federal funding through the Community Mental Health Block Grant, which in turn, funds local facilities throughout the state. In 2022 the Block Grant brought approximately $47 million into the NYS Mental Health system!

Statewide data collected during the PCS is made available to providers through the public PCS Tableau Data Visualizations - https://omh.ny.gov/omhweb/tableau/pcs.html

Important Definitions

Facility Survey

The Facility Survey collects data about the providers of public mental health services in the state of New York. The Facility Survey is conducted in the Spring every other year using the Mental Health Provider Data Exchange (MHPD). MHPD is the on-line database maintained by OMH where providers record information about their OMH-funded facilities, programs, and sites. The Facility Survey asks providers to update contact information for the facility, PCS Coordinator, Executive Director, and programs/sites.

Patient Characteristics Survey

The Patient Characteristics Survey (PCS) collects data on the consumers of public mental health services. Data provided by facilities on their clients completes the picture of the NYS public mental health system.

PCS Coordinator

The PCS Coordinator is the person at your facility who is the liaison between your facility and OMH. Check with your PCS Coordinator if you have questions as to how to proceed in PCS, or if you run into problems using the application. Your PCS Coordinator will contact OMH to resolve issues for you, and we will contact the PCS Coordinator if we need to get information to or from you.

Security Manager

Your Security Manager is the person at your facility who grants users access to OMH applications, edits users' access, and removes access when a user leaves an agency. Contact your Security Manager if you change your phone number, email address, name, or job title, so that your Security Manager can update that information in our system.

Facility/Unit/Site (FUS)

A facility, for our purposes, is your organization. You may have only one location and only one program, or you may have several locations and have programs that cross many counties, but all of that is your "facility." Each facility has one or more programs, and we refer to those as "units." Sometimes units are further subdivided into sites. For example, suppose you work at Acme Hospital, which has two different units: one for mental health outpatient rehabilitative services (MHOTRS), and another for advocacy. The MHOTRS unit has two locations: one on Main Street, and another in Downtown. Therefore, Acme Hospital is your facility; the advocacy and the MHOTRS are your units; and the Main Street and the Downtown are the sites of the MHOTRS unit.

PCS Roles

Submitter

Your Security Manager may assign users at your facility one of two security roles. The first is Submitter. A Submitter is a user who is charged with entering data for one or more Facility/Unit/Sites (FUS). The Security Manager may grant a Submitter access to ALL the units/sites or only one or two, depending on the needs of your facility. A Submitter is assigned access only to the specific units or sites the Submitter needs to access and cannot view or edit data for other unit/sites. A Submitter can also view and print quality reports in PCS for those same units/sites, but no others.

Supervisor

A Supervisor has all the rights that a Submitter has but for the entire facility. The Supervisor can enter and edit data for any unit/site and view and print reports for all units/sites. A Supervisor can also download the entire facility's data at any point to review and correct it or save the data at the end of the survey for the facility's records. The Supervisor certifies that a unit/site has completed data entry by locking that site when finished reviewing the data. The Supervisor is required to enter the reason for no data for any units/sites that do not submit data. Supervisors can also upload data from files extracted from the facility's own electronic data storage, if applicable. Each facility is required to have, at minimum, one Supervisor, as that person can (and in smaller facilities often does) complete the entire process of data reporting, review, and locking.

PCS Access

Questions or problems with the Patient Characteristics Survey (PCS) web-entry application should be directed to your PCS Coordinator. Problems with access or User IDs should also be directed to your Security Manager.
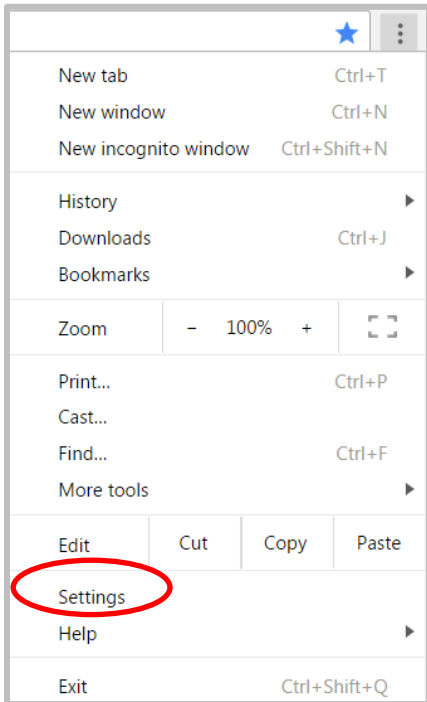
System Requirements

The PCS web-entry application is designed to work using Microsoft Edge, Google Chrome, and Firefox on a PC. At this time, PCS is not supported on a Legacy Edge or Mac browser.

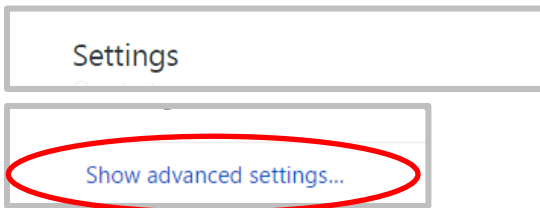## Disabling Pop-up Blockers in Chrome

1) Click the "Customized and control Google Chrome" menu (the three dots in the upper right corner)
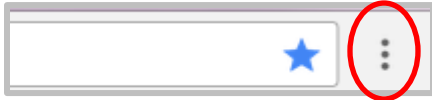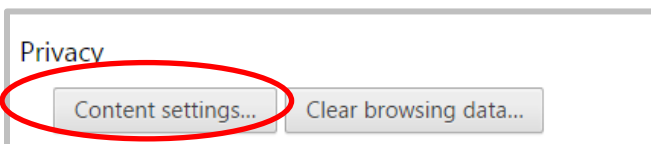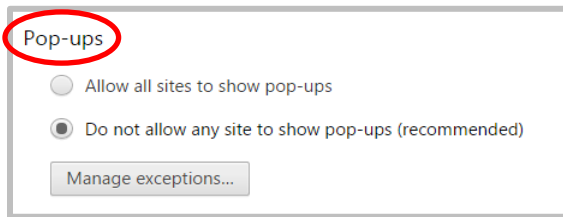

2) Select "Settings"

3) Click "Advanced settings" **…** at the bottom.

4) Under "Privacy and security," click the "Content Settings" button

7

5) Select Pop-ups. To disable the pop-up blocker, check "Do not allow any site to show pop-ups (recommended)" box.

Pop-ups

○ Allow all sites to show pop-ups

● Do not allow any site to show pop-ups (recommended)

[Manage exceptions...]

## Disabling Pop-up Blockers in Microsoft Edge

Block pop-ups in Microsoft Edge

Microsoft Edge, Microsoft account dashboard

To do this:

1. In the new Microsoft Edge 🌀, go to **Settings and more** ··· > **Settings** ⚙ > **Site permissions**.

2. Select **Pop-ups and redirects**.

3. Move the **Block** toggle to **On**.

If the popup blocker is not working after enabling, try these solutions:

- **Make sure Microsoft Edge is up to date:** Select **Settings and more** ··· > **Settings** ⚙ > **About Microsoft Edge** 🌀. If there is an update available, you can apply it from here.

- **Scan your device for malware:** For more, see Stay protected with Windows Security.

- **Disable your extensions:** See if an extension is getting in the way. Select **Settings and more** ··· > **Extensions**, then select the switch to the right of each extension to disable it. If popups are being blocked after this, re-enable them one at a time to determine which one is causing the issue.

- **Block third-party cookies:** To do this, select **Settings and more** ··· > **Settings** ⚙ > **Site permissions** > **Cookies and site data**. Then, ensure **Block third-party cookies** is set to **On**.

- **Clear your browser cache:** For more, see View and delete browser history in Microsoft Edge.

Note: This topic is for the new Microsoft Edge 🌀. Get help for the legacy version of Microsoft Edge .

Getting Access to PCS

To access PCS, you need to have permission from your Security Manager in the Security Management System (SMS). The Security Manager creates an OMH User ID (or NY GOV ID) and password for you if you don't have them already.

Make sure that the Security Manager has the correct name, title, telephone number, and email address. After being registered, users will receive two emails, one with a User ID and the other with a password.

If the user already has an OMH User ID, make sure the Security Manager is informed of this. The Security Manager can grant PCS access using the same User ID.

NOTE: Users need to wait one hour after receiving the 2 emails before accessing PCS so that the databases may update.

PCS Log-in Instructions

Go to: https://www.omh.ny.gov/. This will bring you to the Office of Mental Health website. The OMH website has a link to Behavioral Health Providers.

Click on the Behavioral Health Providers link.

The resources on this page are listed alphabetically.

Scroll down to the "Patient Characteristics Survey" link. Clicking on the "Patient Characteristics Survey" link will bring up the 2023 Patient Characteristics Survey (PCS) Home Page

There are many useful links found on this page. To sign into the PCS application, click on the "2023 PCS Application" under "The Data Entry Web Application" header.

Survey Resources

Preparing for the Survey

- 2023 PCS Calendar 📄 – Includes all of the important dates for 2023
- What's New for 2023 📄 – Summarizes changes to the form and application
- Survey Training
  - WebEx Recording
  - Presentation Slides 📄

The Data Entry Web Application

- **2023 PCS Application** (User Identification and Password Required) Available: October 23 – December 6, 2023
- PCS -OKTA Multi-Factor Authentication (MFA) Guidance
  - User Guide for Internal Users 📄
  - User Guide for External Users 📄

PCS Reference Materials

📄

- 2023 Survey Form 📄 (for informational purposes only – not for data collection)
- 2023 PCS Guidelines 📄 – Covers general reporting instructions (PDF)
- 2023 Using the Electronic Data Upload Feature 📄 - Contains information on:
  - File Layout 📄
  - Sample Upload File 📄
  - Validations 📄
  - Valid County Zip Code Combinations 📄
  - Valid ICD-10 DSM-5 Codes Sorted by Label 📄
  - Valid ICD-10 DSM-5 Codes Sorted by Codes 📄
  - Data Upload Notification Form
- 2023 Frequently Asked Questions (FAQS) 📄

Logging in instructions for Internal Users

For information on how to gain access to the PCS, internal users should review the PCS-OKTA MFA Authentication User Guide (PCS OKTA Multifactor Authentication User Guide for Internal Users). It will explain the specific steps required for Patient Characteristics Survey (PCS) internal users to login using the new OKTA Multi Factor Authentication (MFA).

Logging in instructions for External Users

For information on how to gain access to the PCS, external users should review the PCS-OKTA MFA Authentication User Guide (PCS OKTA Multifactor Authentication User Guide for External Users). It will explain the specific steps required for Patient Characteristics Survey (PCS) external users to login using the new OKTA Multi Factor Authentication (MFA).

Below are instructions for both Internal and External Users

1. The user goes to PCS homepage and clicks on the PCS Application

2. The user is directed to the Sign-in selection landing page and chooses to Sign-in as either **"OMH Providers (State employees)" or "External/Local Provider" (Non-State Employee)** by clicking on the box that applies to them.

Sign-in Selection

The resource you are accessing requires you to authenticate. Please select how you would like to sign-in.

OMH Providers	**External/Local Provider**
(State Employees)	(Non-State Employees)
Sign-in with OMH account	Sign-in with NY.gov account

Internal Users (State Employees)--- Login Process Using OKTA-MFA

The user is prompted to enter their passcode either from the hardware or software token.

State of New York Enterprise
Single Sign On

For security reasons, we require additional information to verify your account

Enter your RSA SecurID passcode.

Passcode

Submit   Secured by RSA®

RSA soft token app: Launch the RSA app on your device and enter your Personal Identification Number (PIN) (*this is the number, you selected when activating the RSA app*). Enter **only** the eight-digit passcode field (do not enter your PIN in the passcode field). Your passcode refreshes every sixty seconds.
Important: If you have difficulty logging in, ensure the correct PIN was entered. Entering the wrong PIN, will generate a passcode that will not work.
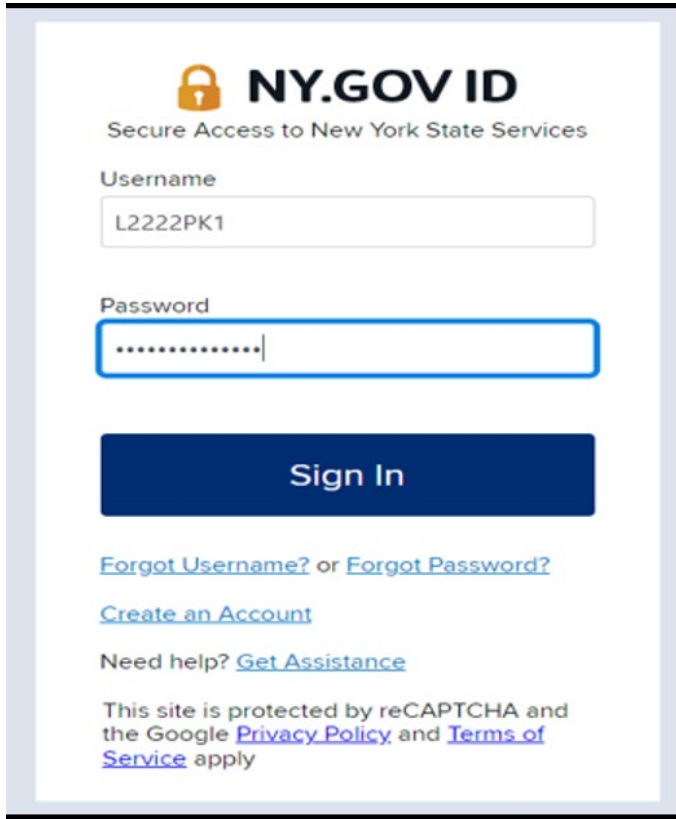
RSA hard token: Your hard token generates a random, six-digit passcode every sixty seconds. To complete your login, enter your Personal Identification Number (*this is the number you selected when you activated your hard token*) **and** the token's six-digit passcode, with no spaces between them, into the passcode field.

Important: Five incorrect attempts will lock users out. If you are locked out you will need to reset your PIN in the **Self-Service Portal** at https://mytoken.ny.gov.

Should your require additional assistance logging in with your RSA SecurID Token, please click here.

External Users (Non-State Employees) ---Login Process Using OKTA-MFA

Enter "Username" (or NY.GOV ID) and "Password" assigned to them by their Security Manager in SMS

External users can use the "**forgot password self-service of NY. GOV ID**" to reset their NY.GOV ID password. This feature will allow them to set their own 14-character password. If the user has access to another application that is still authenticated with ClearTrust they can continue to use their existing ClearTrust password. No changes to existing passwords.

NOTE: Password reset by the security manager is another option. The user will receive the new password via email.

The first time a user logs in as an external user, they will see the multifactor authentication (MFA) set-up page.

The four verification options are:

1) Okta Verify
2) Google Authenticator
3) SMS Authentication
4) Voice Call Authenticator

NOTE: The user should setup **at least two** authentication options
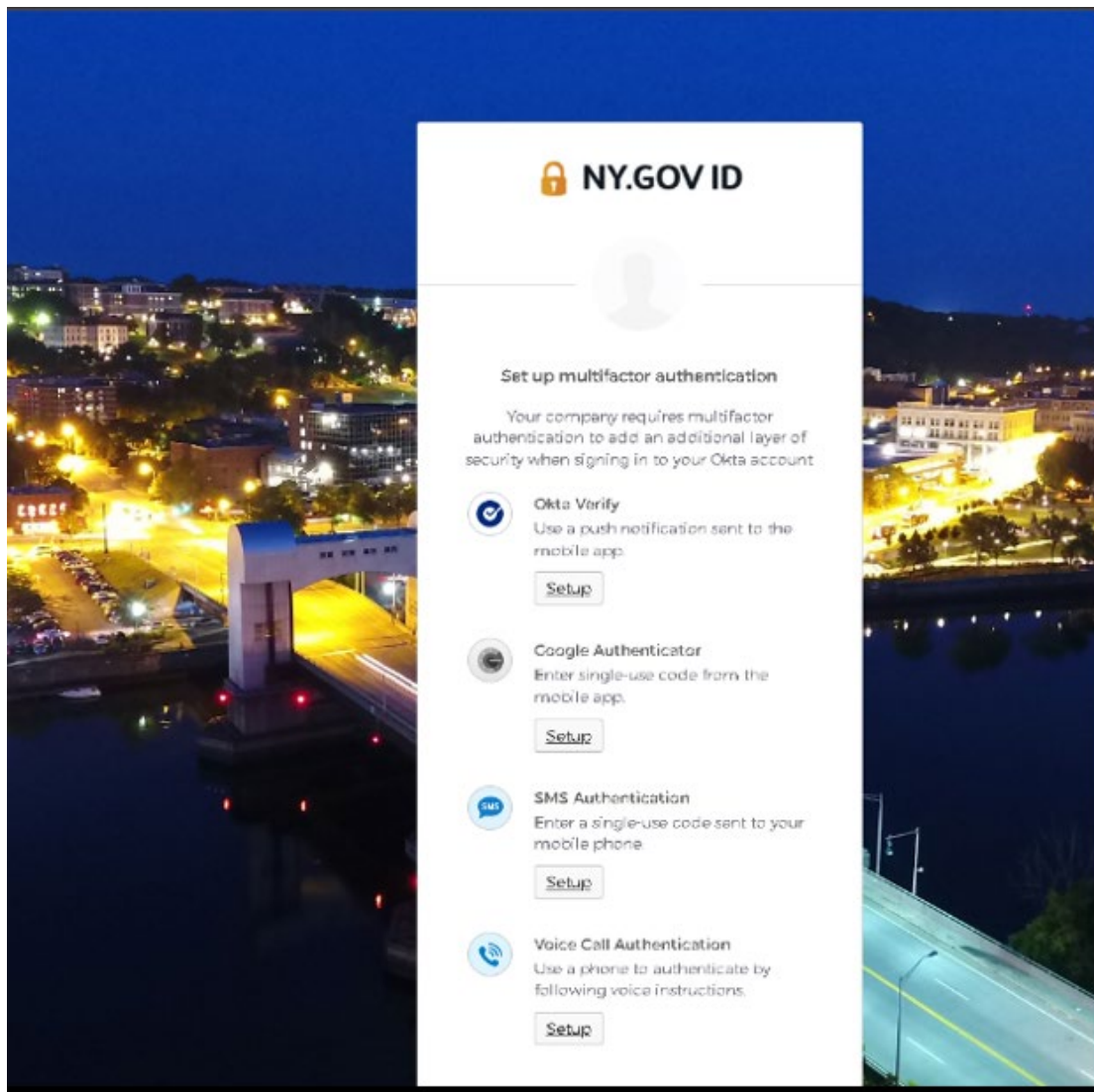
The PCS Home Page

The PCS Home Page is user-friendly and informative. It charts your facility's progress in PCS. A count-down calendar displays the number of days you have left to complete and lock the PCS.

Welcome to PCS 2023

Welcome to the Home Page of the 2023 Patient Characteristics Survey (PCS). The survey information is collected for the week of October 23 through October 29, 2023. Choose your task by selecting from the menu at the top of this page.

Following is a note from PCS Administrators at OMH Central Office:
Welcome to 2023 PCS.
OCT 23 2023 is the due date. However, you have until DEC 6 2023 to complete your submissions, locking the unit/site.

Percent of Submissions Received (Total Submissions in 2023 / Total Submissions in 2022): 10%

Percent of Unit/Sites that are Locked: 5%

The following table is a list of all the Unit/Sites that are participating in the Patient Characteristics Survey. When each Unit/Site has finished data entry, a PCS Supervisor must go to the Supervisor Page and **Lock** its data. This signifies to OMH that data entry for that site is complete.When a particular Unit/Site is locked, neither further data entry nor editing will be possible unless a PCS Supervisor subsequently unlocks it. **When 100% of your Unit/Sites are locked, you have completed the PCS.**
- Clicking on "**Submissions 2023**" for a particular row will bring you to the list of submissions for that Unit/Site. If "**Submissions 2023**" is not an active link, then you are a submitter who is not authorized to view data for this Unit/Site.
- Clicking on "**Number of Users**" for a particular row will display the names of users who have permission from their **Security Manager** to view and edit the data for that Unit/Site. If this column displays a zero, then there are no users authorized and no list will be shown.
- If you feel you need authorization for additional Unit/Sites, please contact your facility's **Security Manager** to obtain it.

Due Date

Days Left

0

○ Show Unit/Site(s) I Have Access to ● Show All Unit/Site(s)

Show 25 ▾ entries

Unit-Site Code ▲	Unit Name	Site Name	Program Type Name	Submissions 2022	Submisssions 2023	Unit/Site Locked?	Reason for No Data (RFND)	Number of Users
002-1000	FCH - Doan, Randall V.	782 Perine Street	Family Care	2	6	No		33
003-1000	FCH - Jones, Mary Ann	625 Decker Avenue	Family Care	1	0	Pending	Other Reason for No Data - Requested	33
009-1000	FCH - Ball, James & Julia	1584 WELLINGTON AVENUE	Family Care	2	0	Yes	Unit/Site is closed	33
011-1000	FCH - Griffin, Nancy	712 West Second Street	Family Care		0	Pending	Other Reason for No Data - Requested	33
012-1000	FCH - Hall, Raymond & Lynda	3712 South Townline Road	Family Care	4	1	No		33
013-1000	FCH - Spoor, Susan & Jack	3034 Kinneys Corner	Family Care	2	11	No		33

In the screenshot below, the facility's data entry progress is displayed. Both bar graphs give information that is helpful. Each bar graph shows the current status for PCS 2023. The top bar graph depicts 7% of submissions have been entered thus far. The second bar graph shows 5% of the Unit/Sites are both approved and locked. When the "Percent of Unit/Sites that are Locked" bar for a facility reaches 100%, that facility has completed the PCS.

Percent of Submissions Received (Total Submissions in 2023 / Total Submissions in 2022): 7%

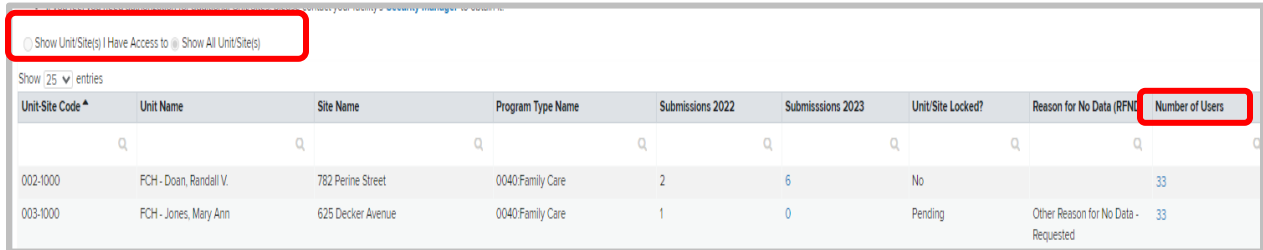Percent of Unit/Sites that are Locked: 5%

The links with contact information for PCS Coordinator, Security Managers, and PCS Users can be found under the Help Tab.
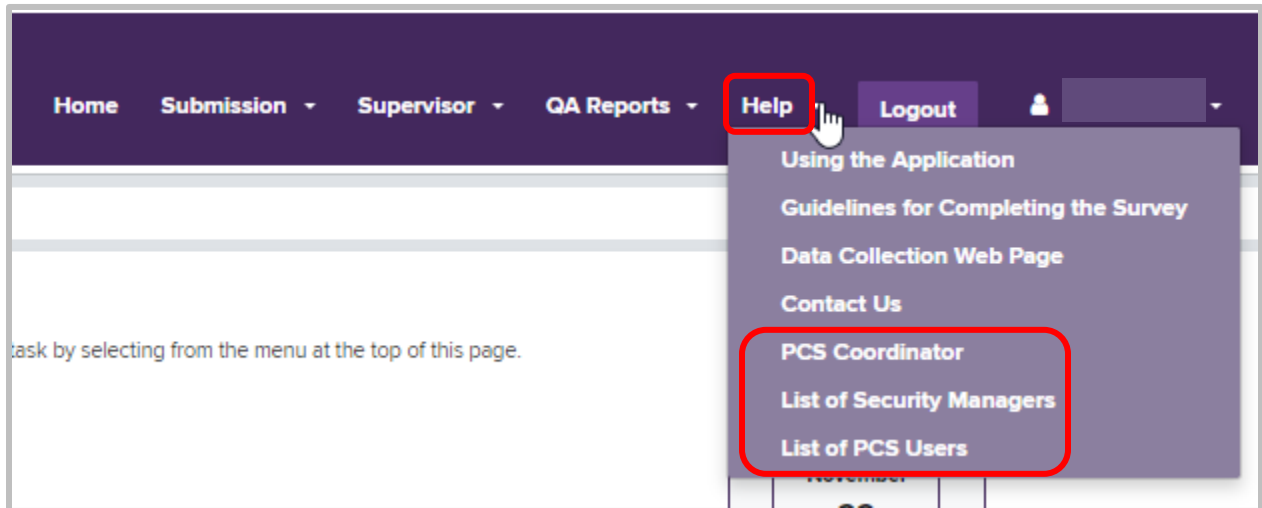
On the Home Page, submitters can find the name and contact information for the PCS Coordinator at their facility. Contacting the PCS Coordinator with questions may be the quickest way to solve problems for submitters. Also, any issues with access or password resets can be handled by your Security Manager. Security Manager information is shown in the drop-down listing as well.

On the PCS Home Page, there is a table with all the programs the facility is required to report on in PCS. This table lists basic information and is available to all PCS users. Submitters can view this general information but can only access submissions and reports for Unit/Sites for which they have access. If a Submitter only wants to view units/sites for which the Submitter has access, a filter at the top of the chart allows users to "Show Unit/Site(s) I Have Access to" or "Show All Unit/Site(s)."

Another feature that Submitters may find helpful is the column labeled "Number of Users." Clicking on this column will bring up a list of all Submitters and Supervisors with access to entering data for that program. If a Submitter does not have access to a program, they must call the Security Manager at their facility to gain access to that program.

The PCS Application's Main Functions

Patient Characteristics Survey 2023 Returns the user to the PCS Home Page

Home Page – Click from wherever you are in the application to go back to the PCS homepage

Submission – Contains three options:
　　Create New Submission: starts a new submission
　　List of Submissions takes user directly to a list of all submissions for the facility
　　Unlock Submission: only available to Supervisors, to unlock a submission inadvertently locked by another user

Supervisor – Contains two options available to Supervisors:
　　Supervisor Page: for supervisors to lock a Unit/Site after data entry is completed, explain any units having no data to submit, and download the facility data once data entry is complete
　　Upload Data: where electronic submitters can upload files directly into PCS

**QA Reports** – Used to monitor completion and accuracy of all surveys entered

> **QA Report 1: Percent of Valid Submissions by Unit/Site.** Allows users to see how many submissions require corrections to make them valid.
> **QA Report 2: Percent of Unknown Responses by Unit/Site**. Compares your facility's percent of unknown responses to those of all other sites of the same type in the State
> **QA Report 3: Percent of Unknown Responses by Item.** Allows Facilities to track what information they are not collecting in general
> **QA Report 4: Number/Percent of Responses by Item for Uploaded Data.** Is designed to facilitate the review of the upload of a data file to identify unexpected values
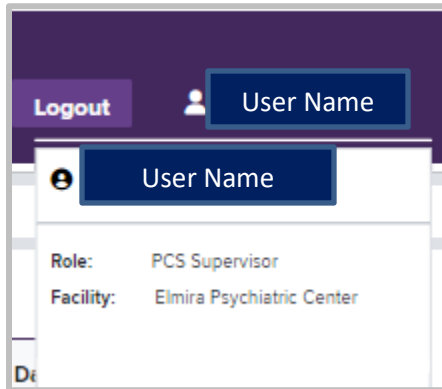
Help – Users can access information also found on our PCS Homepage
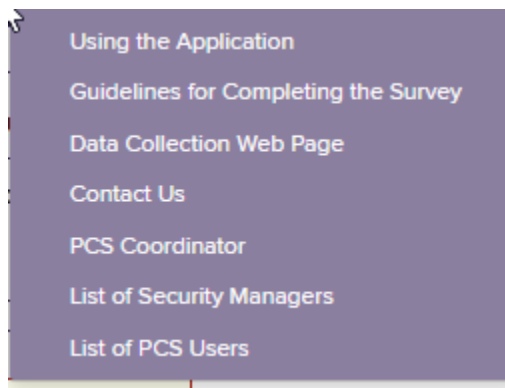
Logout – Used to log-off from the PCS Application.
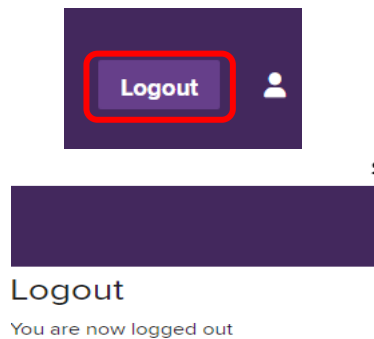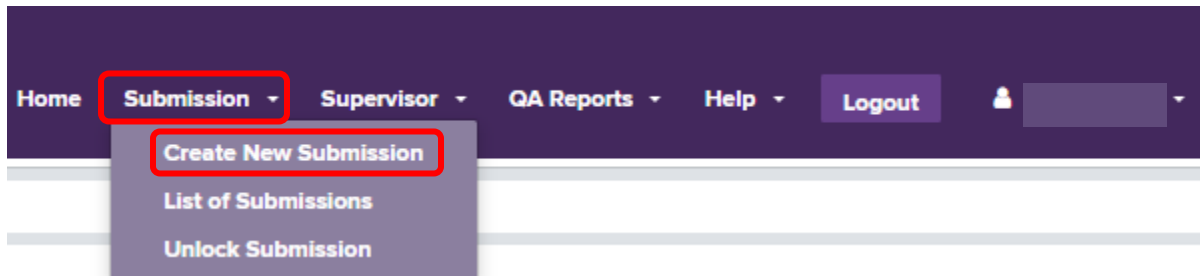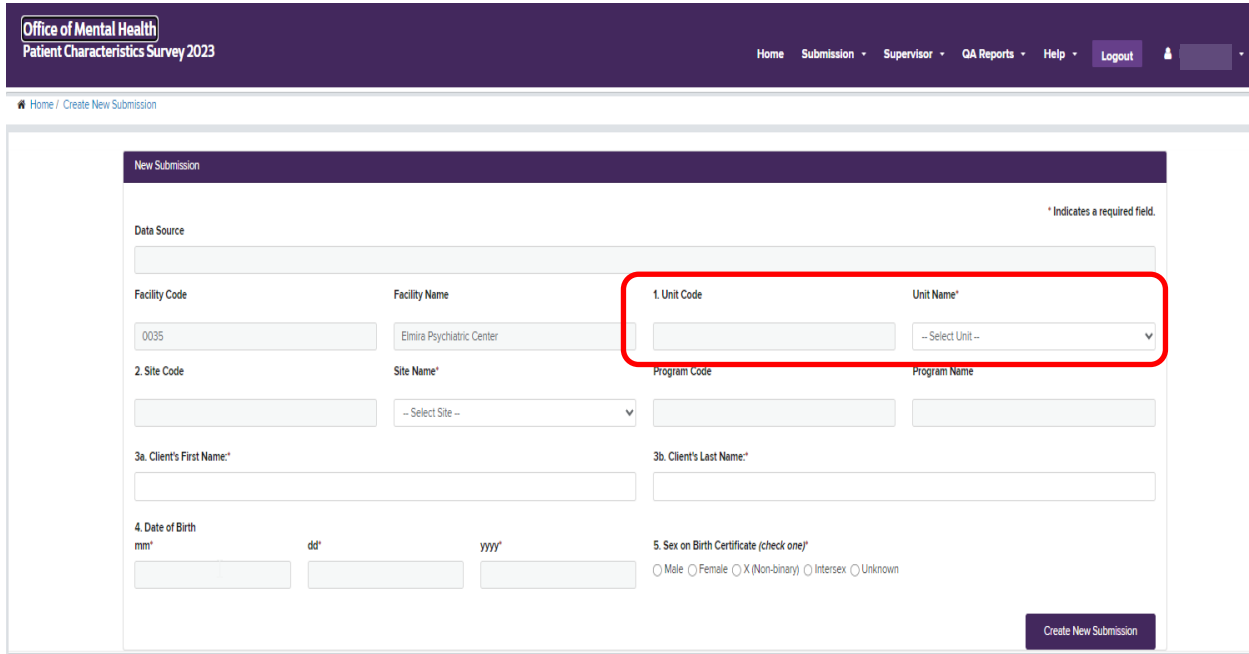
User Info

Clicking on User Name displays the User's role and Facility.

Create a New Submission

Select "Create New Submission" from the Submission menu.

This will bring up a blank "New Submission" screen so a new submission can be started. On this screen, first select the Unit Name, then, if necessary, the Site Name.

If the Unit only has one Site, the Site Name will auto populate. Required fields are noted with an "*". Then, enter the Client's First Name, Last Name, Date of Birth, and Assigned Sex at Birth. The use of full names in PCS is required. This will assist us in coordinating data between PCS and other OMH reporting systems, as well as helping to eliminate duplicate submissions. All personal data is HIPAA protected and is stripped before any composite data leaves OMH.

TIP: Use Tab Key or Mouse to move from field-to-field. Fields written with asterisk "*" in the PCS application are to be completed by the user. For example, the user must select Unit Name since it appears with an asterisk "*", but items 1. Unit Code and 2. Site Code do not have an asterisk "*" because they auto-populate from the information entered in Unit Name and Site Name.

Field Definitions/Descriptions

Facility Code – A read-only field indicating the Facility Code of the Facility to which the PCS user has access. This field is automatically populated after login.

Facility Name – A read-only field indicating the name of the Facility that corresponds to the Facility Code. This field is automatically populated.

1. **Unit Code** – This field is automatically populated based on Unit/Site selected in Unit Name
2. **Site Code** – This field is automatically populated based on Unit/Site selected in Site Name

Unit Name – From the drop-down list, the user selects a Unit Name

Site Name – From the drop-down list, the user selects a Site Name. If the Unit has only one Site, Site Name auto-populates with that information

Program Code –This field is automatically populated based on Unit/Site selected in Unit and Site Names

Program Name –This field is automatically populated based on Unit/Site selected in Unit and Site Names

NOTE: For each question on the survey, you can find helpful instructions in the Guidelines for Completing the 2023 Patient Characteristics Survey document, which is available in the Help menu. As you fill out the survey, please refer to the guidelines document.

Next Button – Proceeds to the next page of data entry for this survey
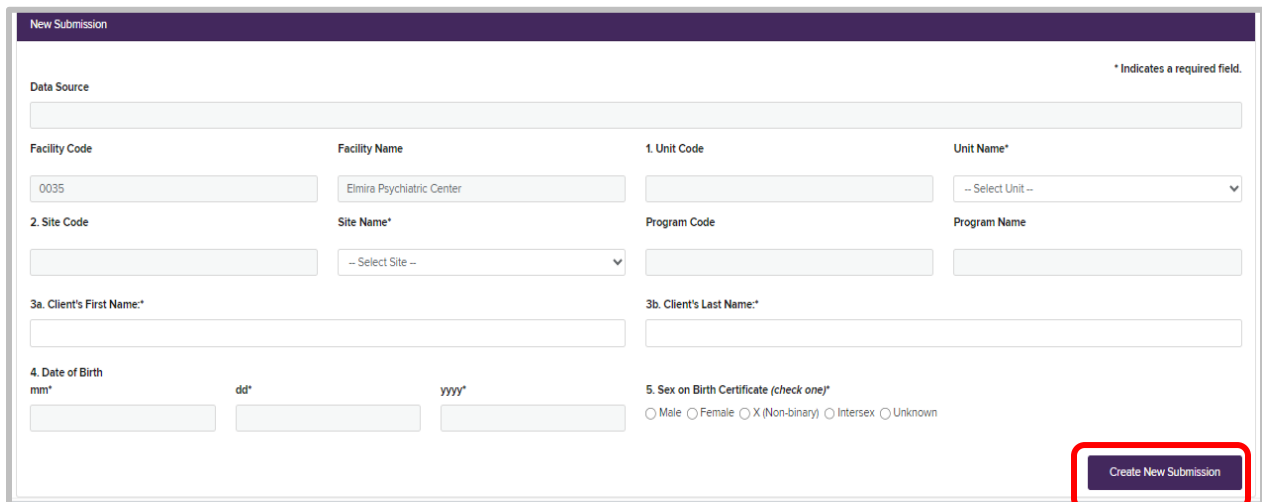
PCS Home Button –   Returns to the PCS Homepage

When the user clicks on the "Next" Button, the system will alert the user if any field has not been properly completed. Once the fields have been populated, the user clicks the "Next" button to proceed to the next page of data entry fields for this current survey.

OMH refers to each combination of name, date-of-birth, and gender as a client. When the user selects "Create New Submission," the client identifying data will be checked to make sure that the client has not already been entered for this Facility/Unit/Site (FUS). If a survey does already exist with this client-identifying combination for this FUS, then the PCS application will display the message: "There are survey records with the same name, DOB, and gender. Is this the same person?" Please interpret this as "same name, DOB, and gender." The user may need to scroll down the page to see this. The existing sheet number/s with the same client identifiers will be displayed (functioning as a search feature). If this may be the same person, select a sheet number to view and edit the existing survey. If it is certain that this survey is not a duplicate, then the user can press the "Create New Submission" button to continue entering the rest of the survey information for this new client.
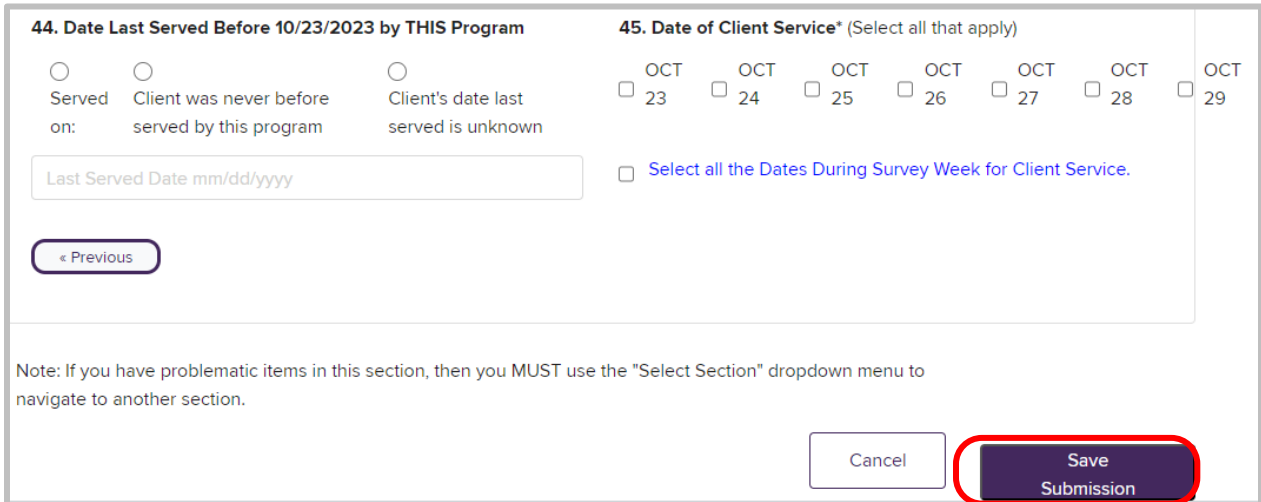
After the user clicks, "Create New Submission," and there are no duplicates, the rest of the survey questions become available.

TIP: Questions with round checkboxes are "select one" answer. Questions with square check boxes are "select all that apply."

When the user clicks the "Save Submission" button at the bottom of the survey, not only will the information be saved in the PCS application, but it will be evaluated for quality.
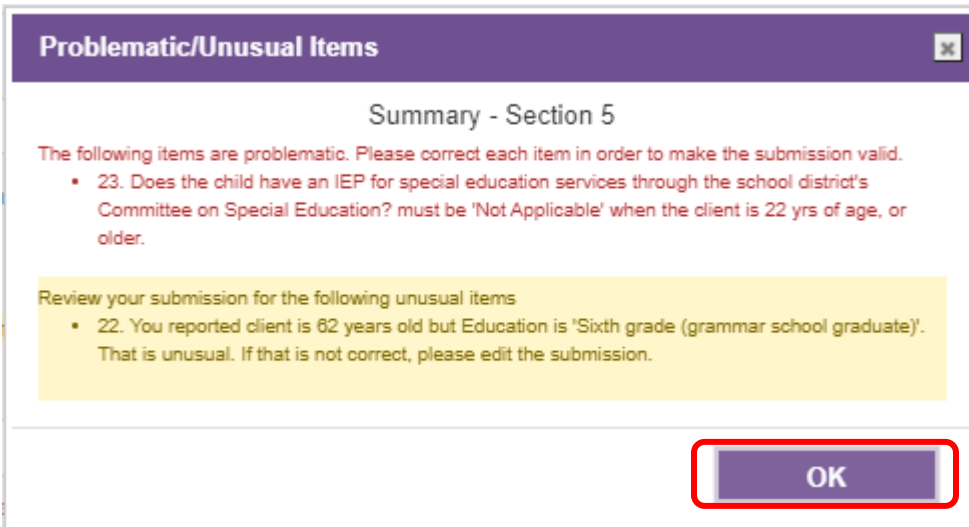
Questionable data will be flagged and divided into two groups displayed in a pop-up message for the user to review. Issues in red font are invalid responses, and issues in yellow background are unusual responses. Click "OK" to close message and fix issues or move to next section.

An invalid or problematic item is one that must be corrected for your survey to be valid. If a submission says that a client is 22 years-old and has an IEP, that would be problematic as IEP should be "Not Applicable".

If the survey contains any invalid responses, then the survey status will be "Invalid"; otherwise, the survey status will be "Valid." Any survey whose status is "Invalid" must be edited either immediately or later to remedy the issues listed in red font. After saving, the survey form will remain displayed in View mode. Data cannot be changed in View mode; the survey can only be read.

Unusual items are answers that may be correct but fall outside of normal ranges. For instance, a 62-year-old client has a 'Sixth grade' education. These set of facts are indeed unusual; however, they are not impossible. Therefore, the system asks that you go back and review your answer, correcting it, if necessary

To correct issues immediately, select "Edit" to enter the Edit mode where corrections can be made. In Edit mode, each item having an issue will be noted with a red triangle ( ). Correct any issues, and then scroll to the bottom of the screen and select "Update Submission."

Alternatively, the user can choose not to correct issues immediately, and may continue entering data for other clients by pressing "Create New Submission" or can return to the PCS home page by clicking on "Home" in the menu bar. The survey with issues will still be saved, and can be viewed later (again, with issues listed) and necessary edits can be made at that time.

Create New Submission when a Program's data is imported from CAIRS or MHARS

The CAIRS (Child and Adult Integrated Reporting System) and MHARS (Mental Health Automated Record System) systems contain much of the information collected in the Patient Characteristics Survey. Programs required to report in CAIRS or MHARS will have their data imported into the PCS application.

When the PCS user creates a new submission and selects a Unit/Site name that currently reports data to either system, click the drop-down arrow that contains the respective client roster.

The client roster will list all persons entered the CAIRS or MHARS system who were not discharged prior to the PCS Survey week. As new clients are added to the CAIRS or MHARS system, they will automatically appear in the PCS roster of clients.

If the client you are looking for is not on the list, it may indicate that the client is not listed in CAIRS or MHARS. If the client should be, you should go back to those systems and report on those clients. When you re-open the PCS application, the clients name will be displayed. What you can do, however, is add the client directly into PCS at this time without returning to CAIRS or MHARS. Above the list of clients is a button which will give you the option to enter data for a different client. After selecting this option, continue entering the client's information as you did when completing a new survey manually.

NOTE: This information will NOT transfer back to CAIRS or MHARS; you must go back as soon as you can and add the client there.

Using the drop-down window, the user selects the name of the client from the Selection List. The roster displays the client's Name, Date of Birth, and Gender, followed by the CAIRS or MHARS ID." If a PCS form has already been started (or completed) for the client, the PCS Sheet Number will also be displayed. When a client from this roster is selected, the PCS fields for Client's Name, Date of Birth, and Gender will automatically populate and the user simply clicks "Next" to continue to the remainder of the PCS form. A sheet number indicates that a PCS submission already exists for this client in PCS. Choosing this client again and clicking "Next" will bring up the duplicate submission dialog.

NOTE: Use this filter box, enter the unit, and then, if necessary, the site you are looking for. Click "Apply."

Unit Name *	Site Name *	
Select ⌄	Select ⌄	Apply

The following table displays all the submissions for your facility (or for the Unit/Site selected in the Filter Box**)

The user is asked to review all CAIRS or MHARS imported items and provide current values if they are out of date. For example, if a person was unemployed when admitted to a program three months ago, but is now competitively employed, the user must change the employment item in PCS accordingly. **Changes made to the PCS record will not be reflected in CAIRS or MHARS.**

For data integrity, there are some items extracted from CAIRS or MHARS that the user will not be allowed to edit in the PCS. For these items, the PCS user must return to CAIRS or MHARS to edit them, if necessary.

The items are:

Client's First and Last Name
Date of birth
Gender

Additionally, when importing from CAIRS, the following items may only be edited in CAIRS:

Hispanic Ethnicity
Race
Admission Date, Current Episode

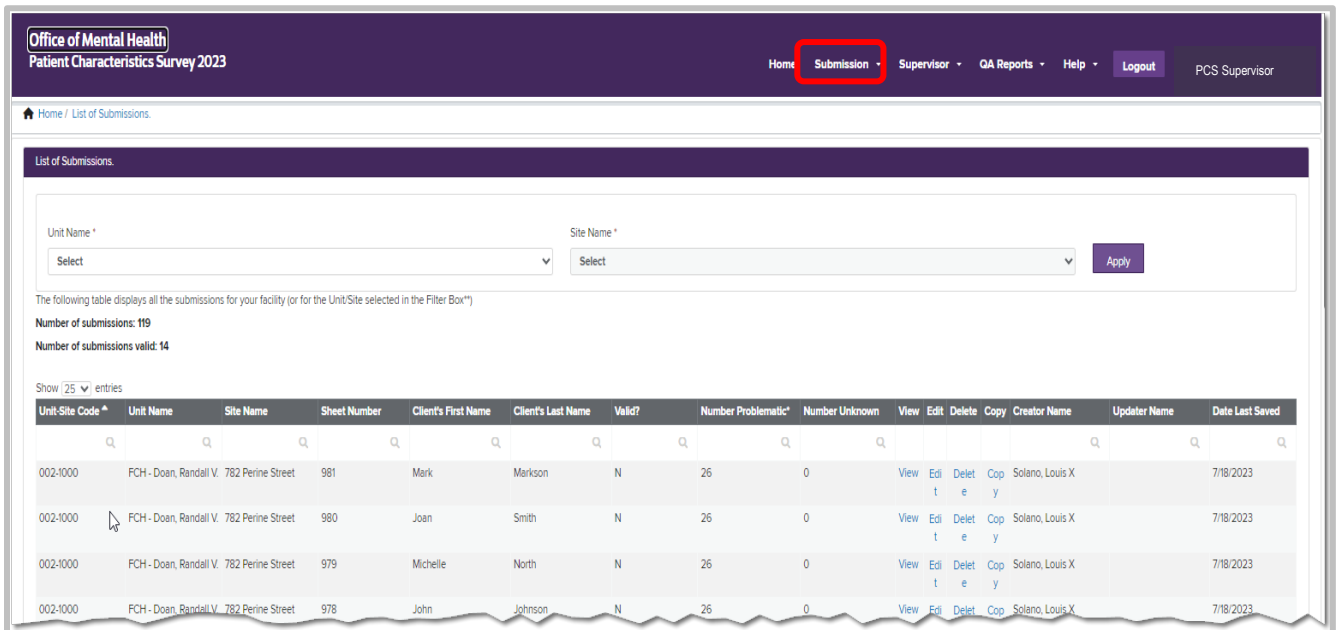If one of these items needs editing, the user must:

(a)   close out of this form,
(b)   log into the CAIRS (MHARS) System and retrieve the respective record,
(c)   make the necessary edits while in that system,
(d)   re-open this data-entry page in PCS to see your edited responses. Other populated items from CAIRS (MHARS) may be edited directly in the web application.

From the client roster, the CAIRS or MHARS ID can be used to locate the client in CAIRS or MHARS, if changes are needed to any CAIRS or MHARS information.

Data for State-operated Unit/Sites reporting in MHARS are imported to the PCS application unless the Unit/Site was already included in the CAIRS import. If a State-operated program wishes to change the data source for the import, for example, to import from MHARS instead of CAIRS, please contact the PCS Unit (pcs@omh.ny.gov).

List of Submissions

The List of Submissions can be accessed from the menu under Submission, or from the PCS Home Page, or from various reports. If accessed from a report or from the Home Page, the list will be filtered for the Unit/Site selected. If accessed from the Submissions menu, users will have the option of viewing all submissions for the entire facility or filtering the list for a Unit/Site. With larger facilities, it is recommended that users make use of this filter as lengthier lists take longer to sort and may result in the program timing out.

To View, Edit, Delete, or Copy a submission, select from the appropriate column in the row of the selected sheet.

View	Edit	Delete	Copy
View	Edit	Delete	Copy
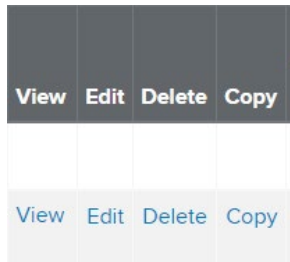
View opens the submission in read mode for review, but no editing.

Edit allows the user to make changes to the submission. Click "Save" to submit those changes.

Delete allows a user to completely remove a submission.

Copy allows the user to copy a submission into a second Facility/Unit/Site (FUS) without removing it from the first.

NOTE: If the Edit and Delete tabs are missing, the Unit/Site has been locked on the Supervisor page and is unavailable for editing. Submissions in a locked Facility/Unit/Site (FUS) can be viewed or copied, but not changed. Contact a PCS Supervisor to unlock the FUS, if edits are required.

Editing a Submission

Once the desired survey is selected in the List of Submissions, clicking "Edit" takes the user to the "Edit" screen for that submission.

Clicking the "Update Submissions" link will take the user to the top of the edited survey.

Deleting a Submission

Select "Delete" in the row of a sheet to delete a submission.
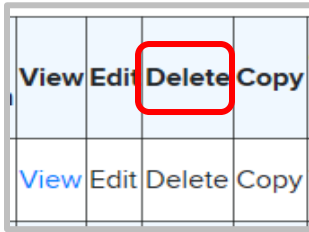
Selecting "Delete" will bring up a "Delete Confirmation" box.
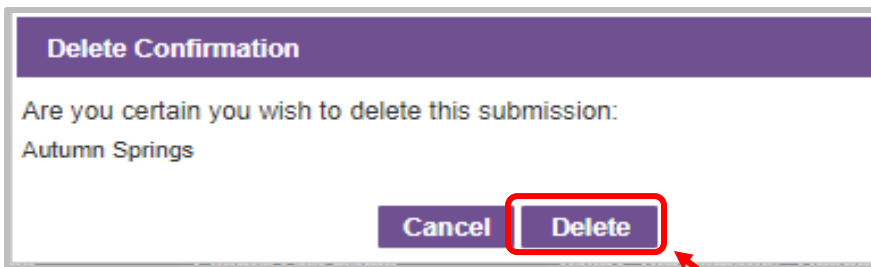
If it is certain that the sheet should be deleted, click "Delete" to delete, otherwise click "Cancel," and return to the List of Submissions to select a different sheet.

NOTE: A deleted sheet cannot be retrieved.

Copying a Submission from one Unit/Site to Another

The "Copy Submission" box appears directly under the "List of Submissions." When a user clicks "Copy," the name of the client and Unit/Site appears, as well as the sheet number of the original submission. The user selects a Unit and Site from the drop-down menus to copy the submission to, and then clicks "Copy Submission."

Copy Submission

Sheet Number:

105

Client Name:

Jane Doe

FROM:

Unit Name:

Test - Add a Program

Site Name:

Test - Add a Program

TO*:**

Unit Name:

Test - Add a Program   ⌄

Site Name:

Test - Add a Program   ⌄

[**Copy Submission**]   **Cancel Copying**

Once you have copied a submission, you will be returned to the List of Submissions.
Please note that
1. copying a submission does *not* delete it from the originating Unit/Site.
2. copied submissions do not include diagnosis codes, dates of service, admission dates, or the dates last served before the survey week. After copying, you must edit the new submission to complete these few items.

*** If you do not see a particular Unit/Site in this list, then either:
   A. You are a submitter that does not have access to that Unit/Site, **OR**
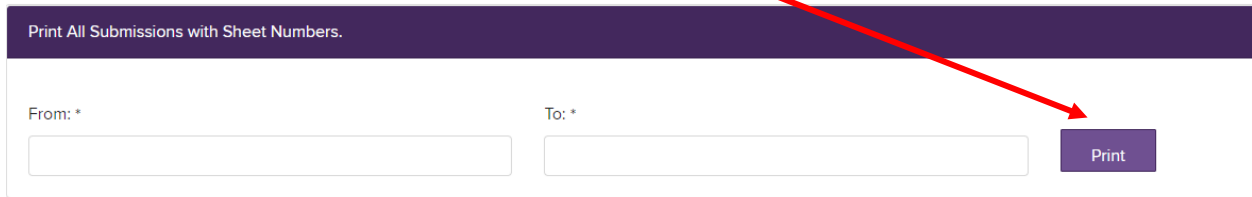   B. The Unit/Site is locked and must be unlocked by a Supervisor before further submissions may be entered.

NOTE: If the Unit/Site required does not appear in the drop-down, then either the user is a Submitter without access to that Facility/Unit/Site (FUS), or the Unit/Site has been locked on the Supervisor page and is unavailable for editing. Contact a Security Manager to get access to different Unit/Sites, or a PCS Supervisor to unlock the FUS, if edits are required.

If a client with the same Client Identifiers (Name, Date of Birth, and Gender) already exists in the new FUS, a duplicate submission dialogue appears, asking if the user wishes to view the duplicate record or continue with the copy. If the user is certain that this is not a duplicate, click "Continue with Copy" to create the new submission in the new Facility/Unit/Site (FUS). The user will be returned to the "List of Submissions," and a green message will appear at the bottom of the "List of Submissions" informing the user of the Sheet Number for the newly created submission.

Some items, such as Dates of Service and Diagnosis, do not copy. When the submission is copied to the new Facility/Unit/Site (FUS), those items are stripped, as they are specific to each program. The user must go to the new submission and edit it to make it valid. Copying a submission does not remove it from the old FUS. To do so, the user must locate the old submission on the "List of Submissions" and delete it.

Print Range of Surveys

To print one or more surveys, enter the sheet number or range of numbers in the boxes at the bottom of the "List of Submission" page. Click "Print" to print out those sheets.

Print All Submissions with Sheet Numbers.

From: *

To: *

Print

NOTE: When printing submissions, fields will be expanded to show the full response set, not just the selected response.

Supervisor Functions

Supervisor Page

The purpose of the Supervisor Page is to monitor completion of the PCS. It maintains a list of all Unit/Sites that are required to enter survey data and allows the Supervisor to lock each individual Unit/Site as data entry is completed. The page also has a Progress Bar, the same as on the PCS Home Page, that tracks percent of Unit/Sites that have been locked. The bar below notes 22% complete.

Percent of Unit/Sites that are Locked: **22%**

Once all Unit/Sites are locked, the Progress Bar will read 100%, and the PCS is complete.

Locking a Unit Site

The "Supervisor Page" is a list of Unit/Sites, the number and validity of submissions for each Site, and its status. If any submissions in a Facility/Unit/Site (FUS) are invalid, the number and the cell in the "Submissions 2023" column will appear in red font. Hovering over that number will display a pop-up that tells how many surveys are still invalid for that Unit/Site.

NOTE: A Unit/Site with invalid submissions cannot be locked.

NOTE: The box for "Submissions 2023" is shaded in red if the program has invalid submissions. See the FCH program "Submissions 2023" in the example below.

Unit-Site Code ▲	Unit Name	Site Name	Program Type Name	Submissions 2022	Submissions 2023	Unit/Site Locked?	Reason for No Data (RFND)
Filter	Filter	Filter	Filter	Filter	Filter	Filter	Filter
002-1000	FCH - Doan, Randall V.	782 Perine Street	0040:Family Care	2	6 *	No	

If data entry is completed for a Unit/Site and the submissions contain no invalid data, the Supervisor should lock the Unit/Site. Select a row with all its submissions valid, such as the Mobile Integration Team program below.

This brings up a message box that allows the Supervisor to choose "Yes, Lock" that Unit/Site.

Lock Unit Site ☒

Unit/Site: 019-1000 , Mobile Integration Team , Mobile Integration Team has 1 submissions of which 1 are VALID and 0 are INVALID.

This Unit/Site is CURRENTLY UNLOCKED and available for continued data entry.
Do you wish to LOCK this Unit-site, preventing further data entry and indicating to OMH that you have finished submitting data for this Unit/Site?

[Yes, Lock] [Cancel]

Once a Unit/Site is locked, no further data entry or editing can be done. To unlock the Unit/Site for further editing, the Supervisor can choose the row of that Unit/Site and click the "Yes, Unlock" button in the message box. When finished, the Supervisor must be sure to lock the Facility/Unit/Site (FUS) again.

Unlock Unit Site ☒

Unit/Site: 019-1000 , Mobile Integration Team , Mobile Integration Team has 1 submissions of which 1 are VALID and 0 are INVALID.

This Unit/Site is CURRENTLY LOCKED and unavailable for continued data entry.
Do you wish to UNLOCK this Unit/Site, and allow further data entry?

[Yes, Unlock] [Cancel]

Unlocking a locked Submission

To save your changes to a submission, you need to log off from the system. You can do this by clicking on the "Log Off" menu item. If you don't log off properly, your submission will be locked and no one else can edit it. To unlock a submission, the Supervisor must select "Unlock Submission" from the Submission menu.
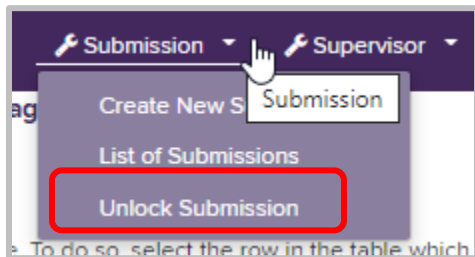
To unlock a submission, the Supervisor simply selects the locked submission from the list to unlock it, at which point any user with access to that record can edit it.

To prevent locking records, users should press the "Save" button whenever exiting a record after editing, and "Log Off" using the menu option whenever leaving PCS.

Reason for No Data

A Supervisor must give an explanation if a Unit/Site does not submit any data. On the Supervisor page, selecting a row for a Unit/Site that has not submitted any data brings up a different dialogue box, "Reason for No Data."

There are three reasons available for not supplying data in PCS.

Unit/Site is closed:

This reason indicates that the Unit/Site was closed prior to 10/23/2023. If this answer is selected, the facility must also submit a change request in the Mental Health Provider Data Exchange (MHPD) to close the program. Contact mhpd@omh.ny.gov for more information.

Unit/Site served no clients during the survey week

This reason may be used if no clients were seen by the Unit/Site during the week of 10/23/23 through 10/29/23. This selection is not appropriate for clients in certain programs (residential and inpatient programs) where the client is in residence, even if the client was not actually seen during the week. For residential and inpatient programs, a client is served every day of the week so long as they have been admitted and not discharged.

Once one of these two answers have been selected, clicking "Save" will lock the Unit/Site, and submit that answer to OMH.

Other Reason for No Data – Requested:

Choosing this reason does not automatically Lock the Unit/Site as did the first two reasons. A Supervisor with "Other Reason for No Data" must submit a request to OMH for exemption. To submit the request, select "Other Reason for No Data – Requested". A Comment Box pops up with instructions to provide a specific description of the service(s) provided by the Unit/Site, information that is collected from clients, and the reason that data cannot be submitted for the PCS. After filling out the Comment Box and clicking "Save," the request will be sent to OMH for processing.

OMH will review the request in a timely fashion, and, if accepted, "Other Reason for No Data – Approved" will appear in the "Reason for No Data" column, and "Unit/Site Locked?" column will read "Yes." At this point, the facility's responsibility for data reporting for that Unit is done.

If the reason provided is insufficient, the facility may be contacted for more information, and OMH may deny the reason. In which case, "Other Reason for No Data – Denied" will appear in the "Reason for No Data" column, the Facility/Unit/Site (FUS) will be unlocked permitting data entry, and the facility will be responsible for entering data into that Unit/Site. In either case, an email will be sent to the Supervisor who requested the RFND informing them of OMH's decision.

If the "Other Reason for No Data" has been entered inadvertently, clicking "Remove Reason" clears out the given reason for no data, including "Other Reason – Denied," and returns the Unit/Site to the unlocked condition, to allow data entry.

Download Facility Data

At any point after data entry has begun, Supervisors will have the option of downloading the entire facility's data into a single Excel spreadsheet. A box will appear at the bottom of the Supervisor Page with the option to "Download Facility Data."

If the facility has any invalid submissions in its data, a note will indicate it. The last column of data in the spreadsheet will indicate whether the row (submission) is valid or invalid. Supervisors may find this useful for tracking down and correcting invalid submissions. Note that the default file name shows the date and time of the data download.

Uploading Data

Larger facilities that store their own records electronically may find that it saves them time to extract data from those records and upload it into PCS. The facility must be able to manipulate its data to conform to OMH standards, a process that may take some time and programming ability. Uploading is not recommended for smaller facilities with only a few records but may be quite useful for facilities with hundreds of records to enter.

A Supervisor can upload data by choosing Upload Data from the Supervisor menu. When the Data Upload screen appears, the Supervisor chooses one or more Unit/Sites to upload to by clicking the boxes in the far-right column. A grayed-out box means that the Unit/Site is locked and must be unlocked on the Supervisor Page before any data can be uploaded.

Clicking "Next" brings up a box where the Supervisor selects the file to be uploaded.

NOTE: Uploads must be text files, with a .txt extension.

PCS data file to upload:

Choose File | No file chosen

Upload Now

The Supervisor uses the Browse button to select the text file from their own computer, and then clicks "Upload Now" to upload the file. If there are errors in Client Name, Date of Birth or Gender, if the file length is not correct, or if the wrong Unit/Sites have been selected, the file will be rejected. Otherwise, all uploads will be accepted; but out of range answers will be eliminated, leaving those answers as missing. A user must go into the uploaded submissions and correct any mistakes or missing data. See the PCS Homepage for further documentation on the upload process.

If data has already been uploaded, any subsequent upload will delete previously uploaded data. In this instance, a warning box will appear after the user clicks "Next." Select "Yes" to continue, "No" to abort.

Warning, previously **uploaded** data exists for the selected unit/site(s).If you upload new data, previously uploaded data for the selected unit/site(s) will be deleted.

Are you sure you want to continue?

Yes   No

**NOTE**: Uploading data a second time to a Unit/Site will wipe out any data previously uploaded to that Site, even if the uploaded data has been edited in PCS. Data directly entered that same Site will not be affected. It will not delete submissions imported from CAIRS. However, it is not possible to upload a submission for a given client, and then to import from CAIRS specific fields for that client.

Quality Assurance Reports

There are four Quality Assurance Reports to help monitor completion and accuracy of reported data. These can be accessed through the QA Report menu.
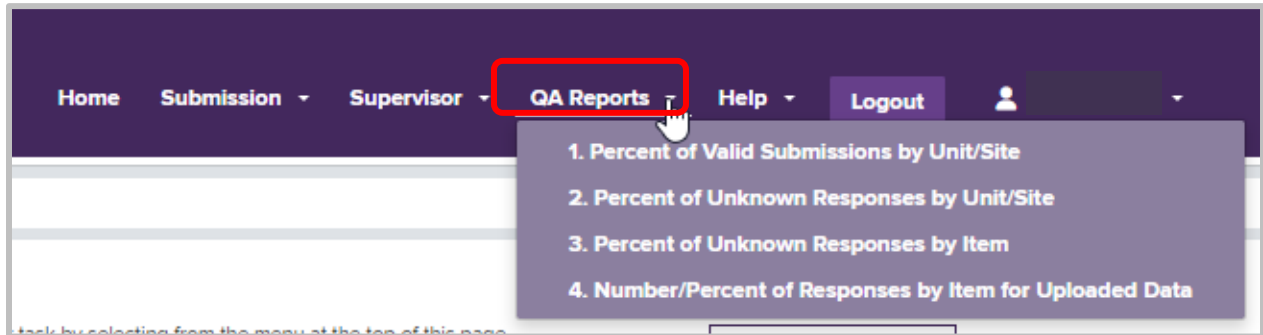
Report #1   Percent of Valid Submissions by Unit/Site

The Percent of Valid Submissions by Unit/Site report lists all the Unit/Sites required to report PCS data from the facility. For each Facility/Unit/Site (FUS), it tallies the number of submissions overall, and then separates this total into two groups: Invalid submissions and Valid submissions. An Invalid submission is any submission that has either a "missing item" or a "problematic item". These missing/problematic items must be remedied by the end of the survey submission period. A Valid submission is one with no missing/problematic items. This report should be used principally to monitor survey completion, since all submissions must be made valid by the end of the survey submission period.

Report #2   Percent of Unknown Responses by Unit/Site

This report tallies the number of unknown items, by Facility/Unit/Site (FUS). Rather than monitor completion (like report #1), this report shows the quantity of usable data each FUS has provided to OMH. Any responses left as "unknown" fails to provide any usable data. To provide data that is usable, the FUS should have a low percentage of items answered as unknown. This report rates each FUS using a scale of 1 (worst) to 5 (best) in its usage of unknown/missing. This is accomplished by comparing the percent of unknown responses for each FUS at this facility to all other FUS of similar program type in the state. For those who are mathematically curious, the 5 ratings issued by OMH are the 5 quintiles of unusable data provided for each program type, based on previous (year 2022) PCS submissions.

Report #3   Percent of Unknown Responses by Item

Like Report #2 this report tallies the amount of unusable data, but it does so by item number rather than by Facility/Unit/Site (FUS). It is used to show areas where an entire facility has excelled or lagged in responding to individual items.

Report #4   Number/Percent of Responses by Item for Uploaded Data

This report checks the Number/Percent of Responses by Item for Uploaded Data. You may find this facility-level report useful for different purposes, but it is designed primarily to facilitate the review of the upload of a data file to identify unexpected values. For example, 100% of persons served are older than 100 years.

Help Menu
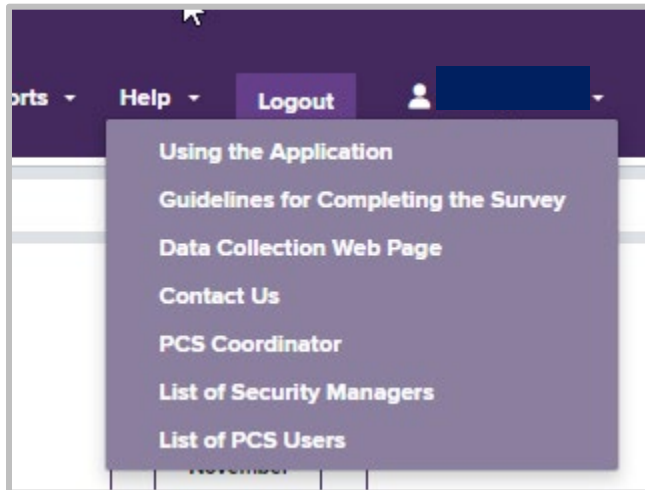
The Help menu provides useful guides to help you complete the survey, along with the "Contact Us" link. Included in the Help menu tab are the: "Using the Application" link, which is the PCS Reference Manual (the document you are currently reading). Also found on the Help Menu is the "Guidelines for Completing the Survey". Consult the "Using the Application" document or the "Guidelines for Completing the Survey" document if you have questions. Forward any questions you have directly to OMH by clicking on the "Contact Us" option. Click the "Data Collection Web Page" link to go back to the PCS Homepage. For easier access, we have moved the "PCS Coordinator," "List of Security Managers," and "List of PCS Users" to the "Help" tab.

User Satisfaction Survey

After your Facility data is 100% locked, PCS Supervisors will see a "Notify Users" button. Clicking on this "Notify Users" button sends the User Feedback Survey to all the PCS users at your Facility. Please fill out the survey to let us know how things worked for you. We take this information into account each time we conduct the PCS: so that the application is more efficient, and the data entry process is easier for you. Please ask all PCS users at your facility to complete the User Satisfaction Survey.

Logout

This menu item allows for a safe, orderly exit from the PCS Web Application. Click on the "Logout" button on the menu bar. Once logged off, the user should close the browser window. After a period of inactivity, the system may time out, bringing the user back to the log in screen. If so, the best course of action is to close the browser, reopen it, and log back in.